

FORM PTO-1390  
(REV 2-2005)  
OMB-0651-0021

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NO.  
**12054-0059**

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

DATE: **July 24, 2006**

U.S. APPLN. NO.  
(IF KNOWN, SEE 37 C.F.R. 1.5)  
**10/576,321**

INTERNATIONAL APPLICATION NO.  
**PCT/JP2004/011050**

INTERNATIONAL FILING DATE  
**AUGUST 2, 2004**

PRIORITY DATE CLAIMED  
**OCTOBER 21, 2003**

**TITLE OF INVENTION: PROCESS FOR PRODUCING HIGH-RESISTANCE SILICON WAFERS AND PROCESS FOR PRODUCING EPITAXIAL WAFERS AND SOI WAFERS (AS AMENDED)**

**APPLICANT(S) FOR DO/EO/US: Kazunari KURITA; Shinsuke SADAMITSU; Hiroyuki TAKAO; and Masataka HOURAI**

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371. (THE BASIC FILING FEE IS ATTACHED)
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures [35 U.S.C. 371(f)] at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed [35 U.S.C. 371(c)(2)]
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed [35 U.S.C. 371(c)(2)].
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)].
9. ☐ An oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)].
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)].

Items 11 - 20 below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

U.S. APPLN. NO. (IF KNOWN, SEE 37 C.F.R. 1.50) 10/576,321		INTERNATIONAL APPLICATION NO. PCT/JP2004/011050		ATTORNEY DOCKET NO. 12054-0059 DATE: JULY 24, 2006	
<input type="checkbox"/> The following fees are submitted:				<b>CALCULATIONS</b>	<b>PTO USE ONLY</b>
<input type="checkbox"/> 21.) Basic National Fee ..... <b>\$300</b>				\$ 0	
<input type="checkbox"/> 22.) Examination Fee - If International Preliminary Examination Report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$100</b> All other situations ..... <b>\$200</b>				\$ 0	
<input type="checkbox"/> 23.) Search Fee - If Search Fee (37 CFR 1.445(a)(2) has been paid in the International Application to the USPTO as an International Searching Authority ..... <b>\$100</b> International Search Report prepared and provided to the Office. <b>\$400</b> All other situations ..... <b>\$500</b>				\$ 0	
<b>TOTAL OF 21, 22 and 23 =</b>				\$ 0	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing on computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.				\$ 0	
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
-100	/50=		x \$250	\$ 0	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date [37 C.F.R. 1.492(h)].				\$ 0	
Claims	Number Filed	Number Extra	Rate		
Total Claims	- 20 =	0	X \$50.00	\$ 0	
Independent Claims	- 3 =	0	X \$200.00	\$ 0	
Multiple dependent claim(s) (if applicable)			+ \$360.00	\$ 0	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 0	
Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by ½				\$ 0	
<b>SUBTOTAL =</b>				\$ 0	
Processing fee of \$130.00 for furnishing the English translation later the 30 months from the earliest claimed priority date [37 C.F.R. 1.492(f)].				\$ 0	
<b>TOTAL NATIONAL FEE =</b>				\$ 0	
Fee for recording the enclosed assignment [37 C.F.R. 1.21(h)]. The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property				\$ 0	
<b>TOTAL FEES ENCLOSED =</b>				\$ 0	
				Amount to be refunded	\$
				Charged	\$

a. ☐ A check in the amount of \$0.00 to cover the above fees is enclosed.

b. ☐ Please charge Counsel's Deposit Account No. 50-1088 in the amount of \$\_\_\_\_\_ to cover the above fee. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Counsel's Deposit Account No. 50-1088.

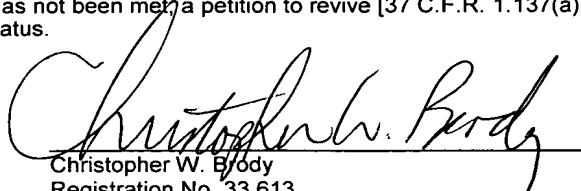
d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 C.F.R. 1.494 or 1.495 has not been met, a petition to revive [37 C.F.R. 1.137(a) or (b)] must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

**CLARK & BRODY**  
 1090 Vermont Avenue, N.W.  
 Suite 250  
 Washington, D.C. 20005  
 Telephone: 202-835-1111  
 Fax: 202-835-1755

**Customer Number: 22902**

  
 Christopher W. Brody  
 Registration No. 33,613  
 Date: July 24, 2006